

07/628440

Applicant or Patentee: Richard S. KetchamDocket No. 3008-33751

Serial or Patent No.:

Filed or Issued: HerewithOPTIMIZED PIEZOELECTRIC-RESONATOR-BASED NETWORKS AND ASSOCIATED METHOD**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) and 1.27(c)) -- SMALL BUSINESS CONCERN**

I hereby declare that I am

☐ the owner of the small business concern identified below:☒ an official of the small business concern empowered to act on behalf of  
the concern identified below:NAME OF CONCERN TFR Technologies, Inc.ADDRESS OF CONCERN 2601 Oakwood Road, Ames Iowa 50010

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled OPTIMIZED PIEZOELECTRIC RESONATOR-BASED NETWORKS AND ASSOCIATED METHOD

by inventor(s) Richard S. Ketchamdescribed in ☒ the application filed herewith.☐ application serial no. \_\_\_\_\_, filed \_\_\_\_\_.☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

FULL NAME TFR Technologies, Inc.ADDRESS 2601 Oakwood Road, Ames, Iowa 50010☐ INDIVIDUAL☒ SMALL BUSINESS CONCERN☐ NONPROFIT ORGANIZATION

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ INDIVIDUAL☐ SMALL BUSINESS CONCERN☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Ken LakinTITLE OF PERSON OTHER THAN OWNER PresidentADDRESS OF PERSON SIGNING 2601 Oakwood Road, Ames, Iowa 50010SIGNATURE Benjamin LakinDATE Dec 6, 1990



07628440

Applicant or Patentee: Richard S. Ketcham Docket No. 3008-33751  
Serial or Patent No.: \_\_\_\_\_ Filed or Issued: Herewith  
For: OPTIMIZED PIEZOELECTRIC RESONATOR-BASED NETWORKS AND ASSOCIATED METHOD

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) AND 1.27(b))--INDEPENDENT INVENTOR**

As a below-named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled OPTIMIZED PIEZOELECTRIC RESONATOR-BASED NETWORKS AND ASSOCIATED METHOD described in

- ☒ the specification filed herewith.  
☐ application serial no. \_\_\_\_\_, filed \_\_\_\_\_.  
☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☐ no such person, concern, or organization  
☒ persons, concerns or organizations listed below\*

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

FULL NAME TFR Technologies, Inc.  
ADDRESS 2601 Oakwood Road, Ames, Iowa 50010

☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

FULL NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

FULL NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Richard S. Ketcham  
NAME OF INVENTOR NAME OF INVENTOR NAME OF INVENTOR

Rich Ketcham  
Signature of Inventor Signature of Inventor Signature of Inventor

12-14-90  
Date Date Date

COMBINED DECLARATION AND POWER OF ATTORNEY  
FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **OPTIMIZED PIEZOELECTRIC RESONATOR-BASED NETWORKS AND ASSOCIATED METHOD** the specification of which

☒ is attached hereto.

☐ was filed on \_\_\_\_\_ as Application Serial No. \_\_\_\_\_.

☐ and was amended on \_\_\_\_\_ (if applicable).

☐ with amendments through \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a). If this is a continuation-in-part application filed under the conditions specified in 35 U.S.C. §120 which discloses and claims subject matter in addition to that disclosed in the prior copending application, I further acknowledge the duty to disclose material information as defined in 37 CFR §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)			Priority Claimed
_____	_____	_____	<input type="checkbox"/> <input type="checkbox"/>
(Number)	(Country)	(Day/Month/Year Filed)	Yes No

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

_____	_____	_____
(Application Serial No.)	(Filing Date)	(Status: patented, pending, abandoned)

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application, to file a corresponding international application, and to transact all business in the Patent and Trademark Office connected therewith:

<u>Name</u>	<u>Reg. No.</u>	<u>Name</u>	<u>Reg. No.</u>
Kenneth S. Klarquist	<u>16,445</u> <sup>307</sup>	Mark L. Becker	31,325
James Campbell	19,978	William D. Noonan	30,878
James S. Leigh	20,434	Flory L. Martin	32,620
Arthur L. Whinston	19,155	John D. Vandenberg	31,312
David P. Petersen	28,106	Patrick W. Hughey	31,169
Richard J. Polley	28,107	Donald L. Stephens Jr.	34,022
Ramon A. Klitzke II	30,188		
William Y. Conwell	<u>31,943</u> <sup>302</sup>		

Address all telephone calls to Mark L. Becker at telephone number (503) 226-7391.

Address all correspondence to:

601 KLARQUIST, SPARKMAN, CAMPBELL,  
LEIGH & WHINSTON  
602 One World Trade Center, Suite 1600 <sup>701</sup>  
702 121 S.W. Salmon Street  
703 Portland, Oregon 97204

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor: <sup>48100</sup> Richard S. Ketcham

Inventor's signature Richard Ketcham

12-14-90  
Date

Residence: 2923 Arbor Street  
Ames, Iowa 50010

IA

Citizenship: U.S.A.

Post Office address: Same as above

Full name of second joint inventor, if any:

Inventor's signature \_\_\_\_\_

\_\_\_\_\_  
Date

Residence:

Citizenship:

Post Office address: